

§ 274.403

(c) Password (PW)—allows a filer, filing agent or training agent to log on to the EDGAR system, submit filings, and change its CCC.

(d) Password Modification Authorization Code (PMAC)—allows a filer, filing agent or training agent to change its Password.

[69 FR 22711, Apr. 26, 2004]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ID, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 274.403 Form SE, form for submission of paper format exhibits by electronic filers.

This form shall be used by an electronic filer for the submission of any paper format document relating to an otherwise electronic filing, as provided in rule 311 of Regulation S-T (§232.311 of this chapter).

[58 FR 14861, Mar. 18, 1993]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form SE, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 274.404 Form TH—Notification of reliance on temporary hardship exemption.

Form TH shall be filed by any electronic filer who submits to the Commission, pursuant to a temporary hardship exemption, a document in paper format that otherwise would be required to be submitted electronically, as prescribed by rule 201(a) of Regulation S-T (§232.201(a) of this chapter).

[58 FR 14861, Mar. 18, 1993]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TH, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

PART 275—RULES AND REGULATIONS, INVESTMENT ADVISERS ACT OF 1940

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275.0-3 References to rules and regulations.

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275.0-7 Small entities under the Investment Advisers Act for purposes of the Regulatory Flexibility Act.

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275.203A-1 Eligibility for SEC registration; switching to or from SEC registration.

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275.203A-4 Investment advisers registered with a State securities commission.

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275.204A-1 Investment adviser codes of ethics.

275.205-1 Definition of “investment performance” of an investment company and “investment record” of an appropriate index of securities prices.

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275.205-3 Exemption from the compensation prohibition of section 205(a)(1) for investment advisers.

275.206 (3)-1 Exemption of investment advisers registered as broker-dealers in connection with the provision of certain investment advisory services.

275.206(3)-2 Agency cross transactions for advisory clients.

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275.206(4)-3 Cash payments for client solicitations.

275.206(4)-4 Financial and disciplinary information that investment advisers must disclose to clients.

275.206(4)-6 Proxy voting.

275.206(4)-7 Compliance procedures and practices.

275.222-1 Definitions.

275.222-2 Definition of “client” for purposes of the national de minimis standard.